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## **UTILITY** PATENT APPLICATION **TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorne	y Docket No.	1744.0020007/MQL/WRS	0				
First Inventor		David F. SORRELLS	PT				
Title	Method and	Method and System for Frequency Up-Conversion					
Express Mail Label No.							

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO:  Assistant Commissioner for Patents Box Patent Application Washington, DC 20231					
<ol> <li>Fee Transmittal Form (e.g., PTO/SB/17)         (Submit an original, and a duplicate for fee processing)</li> <li>Applicant claims small entity status.         See 37 CFR 1.27.</li> </ol>	<ol> <li>CD-ROM or CD-R in duplicate, large table or Computer Program         (Appendix)</li> <li>Nucleotide and/or Amino Acid Sequence Submission         (if applicable, all necessary)</li> </ol>					
Specification [Total Pages 131]  (preferred arrangement set forth below)  - Descriptive title of the Invention  - Cross Reference to Related Applications  - Statement Regarding Fed sponsored R & D  - Reference to sequence listing, a table, or a computer program listing appendix  - Background of the Invention  - Brief Summary of the Invention  - Brief Description of the Drawings (if filed)  - Detailed Description  - Claim(s)  - Abstract of the Disclosure  Total Sheets 73 ]	a.					
Oath or Declaration  [Total Pages 6]  a. Newly executed (original or copy)  b. Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed)  i. DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).  Application Data Sheet. See 37 CFR 1.76.	11. ☐ English Translation Document (if applicable)  12. ☐ Information Disclosure ☐ Copies of IDS Citations  13. ☑ Preliminary Amendment  14. ☑ Two (2) Return Receipt Postcards (MPEP 503) (Should be specifically itemized)  15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)  16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i) Applicant must attach form PTO/SB/35 or its equivalent.					
	17. Authorization under 37 C.F.R. § 1.136(a)(3)  Other: The name of the assignee is: ParkerVision, Inc.					
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:  CONTINUATION OF PRIOR APPLICATION NO: 09/379/497 Divisional Continuation-in-Part (CIP)  Prior application information: Examiner: Green, Miguel D. Group/Art Unit: 2681  For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.						
18. CORRESPONDENCE ADDRESS						
Customer Number or Bar Code Label  Customer No. 26111  26111  PATENT TRADEMARK OFFICE						
NAME STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.						
NAME (Print/Type) Michael Q Lee	Registration No. (Attorney/Agent) 35,239  Date March 4, 2002					
Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time wil	I vary depending upon the peads of the individual and A					

PTO/SB/17 (10-01)

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# **FEE TRANSMITTAL** for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT	(\$) 740.00

Complete if Known				
Application Number	To Be Assigned			
Filing Date	Herewith			
First Named Inventor	David F. SORRELLS			
Examiner Name	To Be Assigned			
Group Art Unit	To Be Assigned			
Attorney Docket No.	1744.0020007			

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)						
The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:		TIONAL Entity		Entity				
Deposit Account Number 19-0036	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee D	escription	Fee paid	
Deposit Account Name Sterne, Kessler, Goldstein & Fox P.L.L.C.	105	130	205	65	Surcharge - late filing f	ee or oath		
☐ Charge Any Additional Fee Required Under 37 CFR §§ 1 16 and 1.17		50	227	25	Surcharge - late provisional	l filing fee or cover sheet		
		130	139	130	Non-English specific			
Applicant claims small entity status See 37 CFR 1.27		2,520	147	2,520	For filing a request for	or <i>ex parte</i> reexamir	nation	
See 57 CFR 1.27		920*	112	920*	Requesting publication of action	of SIR prior to Examine	r	
2. Payment Enclosed		1,840*	113	1,840*	Requesting publication of	of SIR after Examiner a	ction	
Check Credit card Money Order Other*  **Clastic any deficiencies or credit any overpayments in the fees or fee care lations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.		110	215	55	Extension for reply within first month			
FEE CALCULATION	116	400	216	200	Extension for reply w	rithin second month		
1. BASIC FILING FEE	117	920	217	460	Extension for reply w	rithin third month		
Large Entity Small Entity	118	1,440	218	720	Extension for reply w	ithin fourth month		
Fee Fee Fee Fee Description Fee Paid Code (\$) Cocle (\$)	128	1,960	228	980	Extension for reply w	ithin fifth month		
101 740 201 370 Utility filing fee 740.00	119	320	219	160	Notice of Appeal			
106 330 206 165 Design filing fee	120	320	220	160	Filing a brief in support of an appeal			
107. 510 207 255 Plant filing fee	121	280	221	140	Request for oral hearing			
108. 740 208 370 Reissue filing fee	138	1,510	138	1,510	Petition to institute a	public use proceed	ing	
101 740 201 370 Utility filing fee 740.00 106 330 206 165 Design filing fee 107 255 Plant filing fee 108 740 208 370 Reissue filing fee 117 160 214 80 Provisional filing fee	140 141	110 1,280	240 241	55 640	Petition to revive - ur Petition to revive - ur			
SUBTOTAL. (1) (\$)740 00		1,280	242	640	Utility issue fee (or re			
	143	460	243	230	Design issue fee	,		
	144	620	244	310	Plant issue fee			
	122	130	122	130	Petitions to the Comr	missioner		
2. EXTRA CLAIM FEES Fee from Extra below Fee Paid	123	130	123	130	Petitions related to pr	rovisional applicatio	ns	
	126	180	126	180	Submission of Inform	nation Disclosure St	mt	
Total Claims <u>6</u> - 20** = <u>0</u> X = <u>0.00</u> Indep. Claims <u>1</u> - 3** = <u>0</u> X = <u>0 00</u>	581	40	481	40	Recording each pate	nt assignment per		
Multiple Dependent =		740	246	370	Filing a submission after final rejection (37 CFR 1 129(a))			
Large Entity Small Entity Fee Fee Fee Fee Fee Description	149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))		nined	
Code (\$)         Code (\$)           103         18         203         9         Claims in excess of 20	179	740	279	370	Request for Continue	ed Examination (RC	E)	
102 84 202 42 Independent claims in excess of 3 104 280 204 140 Multiple dependent claim	169	900	169	900	Request for expedited examination of a design application			
108 84 209 42 **Reissue independent claims over original	Other fee (	specify) :						
patent 110 18 210 9 **Reissue claims in excess of 20 and over original patent	Other fee (	specify) :						
SUBTOTAL (2) (\$)	*Reduced b	y Basic F	iling Fee	Paid				
** or number previously paid, if greater, For Reissues, see above  SUBTOTAL (3) (\$)						0 00		
SUBMITTED BY		<del></del>				Complete (if applicable)		
Name (Print/Type) Michael Q: Lee		Ret (Atto	gistration mey/Agent)	No.	35,239	<b>Telephone</b> 202-371-2600		
Signature W 2000 C: Information on the	his form mo				-	Date	March 4, 2002	





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\*Admitted only in Maryland \* Admitted only in Virginia \* Admitted only in Texas

March 4, 2002

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Commissioner for Patents Washington, D.C. 20231

**Box: Patent Application** 

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)

(Continuation of U.S. Patent Appl. No. 09/379,497; Filed: August 23, 1999)

Appl. No. (To Be Assigned); Filed: Herewith

For: Method and System for Frequency Up-Conversion

Inventors: David F. SORRELLS *et al.*Our Ref: 1744.0020007/MQL/WRS

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

- 1. PTO Fee Transmittal (Form PTO/SB/17);
- PTO Utility Patent Application Transmittal (Form PTO/SB/05);
- 3. U.S. Utility Patent Application entitled:

## Method and System for Frequency Up-Conversion

and naming as inventors:

David F. SORRELLS Michael J. BULTMAN Robert W. COOK Richard C. LOOKE Charley D. MOSES, Jr.

the application consisting of:

#### Commissioner for Patents March 4, 2002 Page 2

- a. A specification containing:
  - i. <u>128</u> pages of description prior to the claims;
  - ii. 2 pages of claims (6 claims 1 Independent);
  - iii. a one (1) page abstract;
- b. <u>73</u> sheets of drawings: (Figures 1, 2A-2C, 3, 4A-4C, 5, 6A-6C, 7, 8A-8E, 9-18, 19A-19I, 20A-20C, 21A-21C, 22A-22C, 23-27, 28A-28C, 29A-29C, 30A-30C, 31A-31C, 32A-32C, 33A-33C, 34-36, 37A-37B, 38, 39A-39D, 40A-40D, 41, 42A-42E, 43, 44A-44G, 45A-45F, 46, 47, 48A-48B, 49, 50, 51A-51D, 52, 53, 54A-54C, 55, 56, 57A-57C, 58-62, 63A-63H, 64A, 64A-1, 64B-64F);
- c. A copy of the executed Combined Declaration and Power of Attorney, as filed in U.S. Appl. No. <u>09/379,497</u>;
- d. An Application Data Sheet (37 C.F.R. § 1.76);
- 4. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3);
- 5. Preliminary Amendment;
- 6. Two (2) return postcards; and
- 7. Our check no. 34386 for \$740.00 to cover the filing fee for patent application.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

Commissioner for Patents March 4, 2002 Page 3

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

EKNE, KRSSLER, GOLDSTEIN & FOX P.L.L.C.

Michael Q. Lee

Attorney for Applicants Registration No. 35,239

#### Enclosures

P:\USERS\Dcrooks\MQL file\1744\002.7\contin. appln. filing pto cvr ltr